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10649 U.S. PTO

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Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

093/002

First Inventor

Lakshmi Rambhatla, et al.

Title

Hepatocyte Lineage Cells Derived from Pluripotent  
Stem Cells

Express Mail Label No.

EH234874034US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **68**]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **5**]

5. Oath or Declaration [Total Pages **2**]

- a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: Check for \$467.00

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label

or ☐

Correspondence address below

Name

**022869**

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

J. Michael Schiff

Registration No. (Attorney/Agent)

40,253

Signature

Date

Nov 20/00

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 467.00

## Complete if Known

|                      |                           |
|----------------------|---------------------------|
| Application Number   | [to be assigned]          |
| Filing Date          | November 20, 2000         |
| First Named Inventor | Lakshmi Rambhatla, et al. |
| Examiner Name        | [to be assigned]          |
| Group Art Unit       | [to be assigned]          |
| Attorney Docket No.  | 093/002                   |

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 07/1139  
Deposit Account Name: Geron Corporation

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid    |
|----------------------------|----------------------------|------------------------|-------------|
| 101 710                    | 201 355                    | Utility filing fee     | 355.00      |
| 106 320                    | 206 160                    | Design filing fee      |             |
| 107 490                    | 207 245                    | Plant filing fee       |             |
| 108 710                    | 208 355                    | Reissue filing fee     |             |
| 114 150                    | 214 75                     | Provisional filing fee |             |
| SUBTOTAL (1)               |                            |                        | (\$ 355.00) |

### 2. EXTRA CLAIM FEES

Total Claims: 28 - 20\*\* = 8 X Fee from below 9.00 = 72.00  
Independent Claims: 3 - 3\*\* = 0 X 0 = 0  
Multiple Dependent: =

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  |
|----------------------------|----------------------------|--|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |
| 102 80                     | 202 40                     | Independent claims in excess of 3                          |
| 104 270                    | 204 135                    | Multiple dependent claim, if not paid                      |
| 109 80                     | 209 40                     | ** Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 72.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Fee Code   | Large Entity (\$) | Fee Code | Small Entity (\$) | Fee Description  | Fee Paid |
|------------|-------------------|----------|-------------------|--|----------|
| 105 130    | 205 65            |          |                   | Surcharge - late filing fee or oath  |          |
| 127 50     | 227 25            |          |                   | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130    | 139 130           |          |                   | Non-English specification  |          |
| 147 2,520  | 147 2,520         |          |                   | For filing a request for ex parte reexamination                            |          |
| 112 920*   | 112 920*          |          |                   | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840* | 113 1,840*        |          |                   | Requesting publication of SIR after Examiner action                        |          |
| 115 110    | 215 55            |          |                   | Extension for reply within first month                                     |          |
| 116 390    | 216 195           |          |                   | Extension for reply within second month                                    |          |
| 117 890    | 217 445           |          |                   | Extension for reply within third month                                     |          |
| 118 1,390  | 218 695           |          |                   | Extension for reply within fourth month                                    |          |
| 128 1,890  | 228 945           |          |                   | Extension for reply within fifth month                                     |          |
| 119 310    | 219 155           |          |                   | Notice of Appeal   |          |
| 120 310    | 220 155           |          |                   | Filing a brief in support of an appeal                                     |          |
| 121 270    | 221 135           |          |                   | Request for oral hearing   |          |
| 138 1,510  | 138 1,510         |          |                   | Petition to institute a public use proceeding                              |          |
| 140 110    | 240 55            |          |                   | Petition to revive - unavoidable   |          |
| 141 1,240  | 241 620           |          |                   | Petition to revive - unintentional   |          |
| 142 1,240  | 242 620           |          |                   | Utility issue fee (or reissue)   |          |
| 143 440    | 243 220           |          |                   | Design issue fee   |          |
| 144 600    | 244 300           |          |                   | Plant issue fee  |          |
| 122 130    | 122 130           |          |                   | Petitions to the Commissioner  |          |
| 123 50     | 123 50            |          |                   | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180    | 126 180           |          |                   | Submission of Information Disclosure Stmt                                  |          |
| 581 40     | 581 40            |          |                   | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 710    | 246 355           |          |                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710    | 249 355           |          |                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710    | 279 355           |          |                   | Request for Continued Examination (RCE)                                    |          |
| 169 900    | 169 900           |          |                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

## SUBMITTED BY

|                   |                   |                                   |           |           |                |
|-------------------|-------------------|-----------------------------------|-----------|-----------|----------------|
| Name (Print/Type) | J. Michael Schiff | Registration No. (Attorney/Agent) | 40,253    | Telephone | (650) 473-7715 |
| Signature         |                   | Date                              | Nov 20/00 |           |                |

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